

DC ADVISOR VIEWS

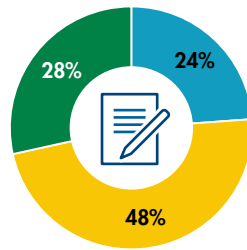
ESG in DC Plans: Learning More



As Environmental, Social, and Governance (ESG) concerns have permeated the public consciousness increasingly over the past few years, they are also top-of-mind throughout the investment world.

With this backdrop in mind, Secure Retirement Institute® (SRI®) took a next step in examining the use of ESG investments in DC plans by surveying those advisors who serve as gatekeepers to plans and plan sponsors about how ESG investments fit into their own practices, value propositions, and philosophies. In December 2022, SRI contracted with NMG to field an online survey of 126 financial advisors who currently advise DC plans.

ADVISOR SEGMENTS



■ Occasional
■ Hybrid
■ Core

OCCASIONAL

- Wealth-focused
- <20% revenue from DC
- Smaller plans

HYBRID

- Building DC/benefits into wealth
- <50% income from DC
- Plans up to \$25M

CORE

- Fully committed to DC
- 50%+ income from DC/average 70%
- Average plan up to \$100M/larger in scope

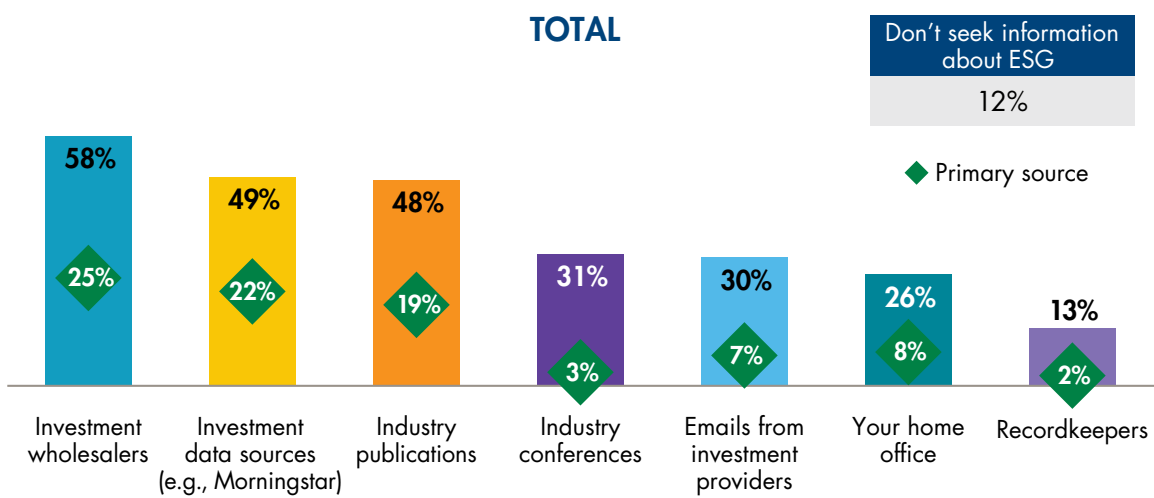


Investment wholesalers are advisors' go-to source for information about ESG in DC.



DC-focused advisors (Core) are more likely to self-serve when learning about ESG.

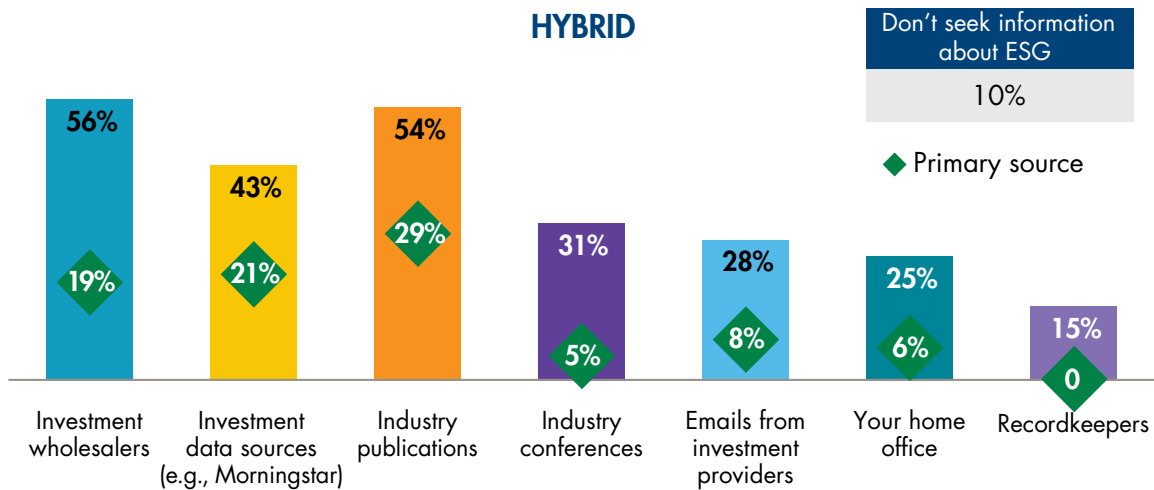
TOTAL



OCCASIONAL



HYBRID



CORE

